

Form PTO-1449

**INFORMATION DISCLOSURE CITATION
IN AN APPLICATION**
 (Use several sheets if necessary)

Docket Number (Optional)

UPM-001.01(22648-101)

Application Number

09/696,762

Applicant

Hoffman et al

Filing Date

October 25, 2000

Group Art Unit

2162 3628

U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
mm	AA 5,918,217	06/29/99	Maggioncalda et al	705	36	12/10/97

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JUL 02 2001

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FOREIGN PATENT DOCUMENTS

	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
						YES	NO
mm	AB WO 98/44444	10/08/98	PCT				X
mm	AC WO 99/28845	06/10/99	PCT				X
mm	AD WO 99/46658	09/16/99	PCT				X

OTHER DOCUMENTS

(Including Author, Title, Date, Pertinent Pages Etc.)

mm	AE	International Search Report Completed on March 19, 2001 and Mailed on March 27, 2001					
EXAMINER	Ngan Nguyen			DATE CONSIDERED 8/2/2004			

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the applicant.

Please type a plus sign (+) in this box



PTO/SB (12-97)

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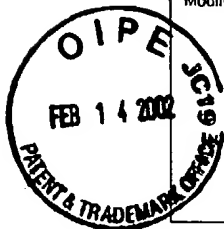
Modified Form 1449/PTO

**SUPPLEMENTAL INFORMATION
DISCLOSURE
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Application Number	09/696,762
Filing Date	October 25, 2000
First Named Inventor	Mark Hoffman et al.
Group Art Unit	2162 3628
Examiner Name	Not Yet Assigned
Attorney Docket Number	24309-501

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U.S. PATENT DOCUMENTS

Exam Initials	Cite No.	U.S. Patent Document No.	Issue Date	Name of Patentee(s) or Applicant(s)	Class	Sub Class	Filing Date If Appropriate
	AA						
	AB						
	AC						
	AD						
	AE						
	AF						
	AG						
	AH						
	AI						
	AJ						
	AK						
	AL						
	AM						
	AN						
	AO						
	AP						

FOREIGN PATENT DOCUMENTS

Exam Initials	Cite No.	Foreign Patent Document Office Number	Name of Patentee(s) or Applicant(s)	Date of Publication	Translation Yes No
	BA				

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS

Exam Initials	Cite No.	Name of Author, Title (when appropriate), Publication, Volume, Page(s), Date, Etc.
m	CA	"Placemark Introduces "Total," First Production to Provide Comprehensive Tax Optimization for Individual Investors", Placemark Investments, pp. 1-2.
m	CB	Figlewski, S. et al., "Optimal Aggregation of Money Supply Forecasts: Accuracy, Profitability, and Market Efficiency", pp. 38-54 reprinted from Journal of Finance, 28: 3, June 1983, pp. 695-710.
	CC	

* copies of these references are not provided as they were previously cited by or submitted to the office in a prior application, U.S.S.N. _____, filed _____, which is a continuation of U.S.S.N. _____, filed _____, and relied upon for an earlier filing date under 35 U.S.C. §120 (continuation, continuation-in-part, and divisional applications).

Examiner Signature	Ngat Nguyen	Date Considered	8/2/2004
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